



FEB 17 2004

PTO/SB/21 (08-03)

2153  
219-04

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

		Application Number	10/054,749
		Filing Date	January 18, 2002
		First Named Inventor	Stork, David G.
		Art Unit	2153
		Examiner Name	Burgess, Glenton B.
Total Number of Pages in This Submission	7	Attorney Docket Number	15358-006710US

**ENCLOSURES (Check all that apply)**

<input type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to Group
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address	<input type="checkbox"/> Status Letter
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Terminal Disclaimer	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Request for Refund	SB08A, SB08B, Return Postcard
<input checked="" type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> CD, Number of CD(s)	
<input type="checkbox"/> Certified Copy of Priority Document(s)		
<input type="checkbox"/> Response to Missing Parts/Incomplete Application		
<input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53		

Remarks

The Commissioner is authorized to charge any additional fees to Deposit Account 20-1430.

**RECEIVED**

FEB 18 2004

Technology Center 2100

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

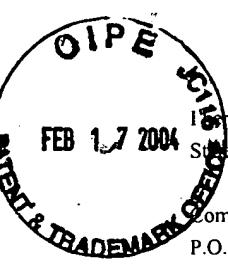
Firm or Individual	Townsend and Townsend and Crew LLP Sujit B. Kotwal	
	Reg. No. 43,336	
Signature	<u>S. B. Kotwal</u>	
Date	February 11, 2004	

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Typed or printed name	Krista K. Merrimac		
Signature	<u>Krista K. Merrimac</u>		
	Date	February 11, 2004	

60140097 v1



I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to:

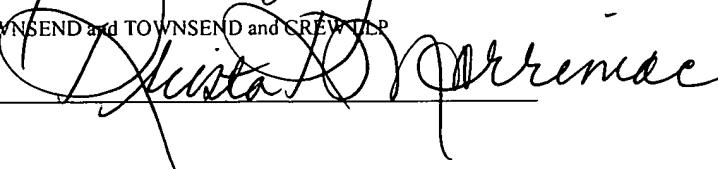
Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

On February 11, 2004

TOWNSEND and TOWNSEND and CROW LLP

By: 

PATENT

Attorney Docket No.: 15358-006710US

Client Reference: ID-RII-270

Tokyo Reference: AP01-358A

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re application of:

DAVID G. STORK et al.

Application No.: 10/054,749

Filed: January 18, 2002

For: METHOD AND APPARATUS FOR  
PERMISSIONS BASED ACTIVE  
DOCUMENT WORKFLOW

Examiner: Glenton B. Burgess

Art Unit: 2153

**SUPPLEMENTAL INFORMATION  
DISCLOSURE STATEMENT UNDER 37  
CFR §1.97 and §1.98**

**RECEIVED**

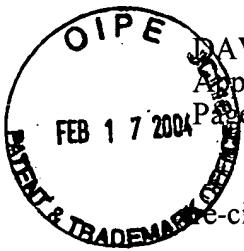
FEB 18 2004

Technology Center 2100

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The references cited on the attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. The references were originally cited in an Information Disclosure Statement that was facsimile-filed on April 16, 2002 for the above-referenced application. However, upon reviewing PAIR, it was noted that the U.S. Patent Office records did not indicate receipt of the IDS (even though we received a RIGHT FAX confirmation from the USPTO indicating that the IDS documents were properly received by the USPTO on April 16, 2002). Accordingly, in abundance of caution, these references are being



DAVID G. STORK et al.  
Application No.: 10/054,749  
Page 2

RECEIVED

PATENT

FEB 18 2004

Technology Center 2100

Reference is cited on the attached form PTO/SB/08A and PTO/SB/08B filed in this Supplemental Information Disclosure Statement.

In accordance with 37 CFR §1.98(d), copies of the references can be found in Application No. 09/958,000, filed September 20, 2001 (Attorney Docket No. 015358-006700US) from which the present application claims priority. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

*S. B. Kotwal*

Sujit B. Kotwal  
Reg. No. 43,336

TOWNSEND and TOWNSEND and CREW LLP  
Two Embarcadero Center, 8<sup>th</sup> Floor  
San Francisco, California 94111-3834  
Tel: 650-326-2400  
Fax: 650-326-2422  
SBK:km



Please type a plus sign (+) inside this box

+

PTO/SB/08A (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO			<b>Complete if Known</b>	
<b>INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b> <i>(use as many sheets as necessary)</i>			Application Number	10/054,749
			Filing Date	January 18, 2002
			First Named Inventor	Stork, David G.
			Group Art Unit	2153
			Examiner Name	Burgess, Glenton B.
			Attorney Docket Number	15358-006710US
Sheet	1	of	3	

<b>U.S. PATENT DOCUMENTS</b>						
Examiner Initials*	Cite No. <sup>1</sup>	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
	AA	RE 31,287		Patil	06-21-1983	
	AB	4,068,214		Patil	01-10-1978	
	AC	4,644,461		Jennings	02-17-1987	
	AD	4,700,187		Furtek	10-13-1987	
	AE	4,866,605		Nakano et al.	09-12-1989	
	AF	5,029,080		Otsuki	07-02-1991	
	AG	5,257,363		Shapiro et al.	10-26-1993	
	AH	5,283,896		Temmyo et al.	02-01-1994	
	AI	5,291,427		Loyer et al.	03-01-1994	
	AJ	5,555,179		Koyama et al.	09-10-1996	
	AK	5,742,283		Kim	04-21-1998	
	AL	6,002,850		Simino et al.	12-14-1999	
	AM	6,011,830		Sasin et al.	01-04-2000	
	AN	6,067,357		Kishinsky et al.	05-23-2000	
	AO	6,178,239	B1	Kishinsky et al.	01-23-2001	
	AP	6,225,998	B1	Okita et al.	05-01-2001	
	AQ	6,256,598	B1	Park et al.	07-03-2001	

RECEIVED

FEB 18 2004

Technology Center 2100

<b>FOREIGN PATENT DOCUMENTS</b>						
Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Office <sup>3</sup>	Number <sup>4</sup>			
	AR	DE	4301391	A1	Vetterkind, D.	08-11-1994
	AS	DE	19621062	A1	Siemens, A.G.	11-27-1997
	AT	JP	7160773	A	Omron, K.K.	06-23-1995
	AU	JP	10049206	A	Kobe Steel, Ltd.	02-20-1998
	AV	JP	10058288	A	Toshiba, K.K.	03-03-1998
	AW	JP	10124110	A	Ebara Corp.	05-15-1998
	AX	JP	10240714	A	Toshiba, K.K.	09-11-1998
	AY	JP	11328259	A	Nippon Steel Corp.	11-30-1999

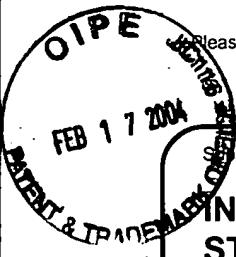
Examiner Signature	Date Considered
--------------------	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> See attached Kinds of U.S. Patent Documents. <sup>3</sup> Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). <sup>4</sup> For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. <sup>5</sup> Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. <sup>6</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

60140018 v1



Please type a plus sign (+) inside this box →

PTO/SB/08B (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449B/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

2

of

3

### Complete if Known

Application Number	10/054,749
Filing Date	January 18, 2002
First Named Inventor	Stork, David G.
Group Art Unit	2153
Examiner Name	Burgess, Glenton B.
Attorney Docket Number	15358-006710US

RECEIVED

FEB 18 2004

Technology Center 2100

### OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	AZ	ACETO, L., and HENNESSY, M., "Adding Action Refinement to a Finite Process Algebra*,," Information and Computation, 115, pp. 179-247 (1994).	
	BA	ANONYMOUS, "Petri net approach to checking software structural change correctness in operation – using changed region analysis to identify parts still needing further checking using set of linear expressions in logic relationship," RD 348009 A, p. 225, (4-10-1993).	
	BB	BAI, YUE-BIN, LIU, YI, MA, JIAN-SHE, and ZHENG, SHOU-QI, "Research and Implementation of Distributed Security Administration System for Remote Access Based on NAS," Mini-Micro Systems, Vol. 21, No. 11, pp. 1197-2000 (Nov. 2000).	
	BC	BAUDERON, M. and COURCELLE, B. "Graph Expressions and Graph Rewriting," Mathematical Systems Theory, Vol. 20, pp. 83-127, (1987).	
	BD	CHUN, Yang, "Application and Research of a User Name and Password Authentication Based on SOCKS V5," Journal of University of Electronic Science and Technology of China, Vol. 30, No. 2, pp. 162-165 (Apr. 2001).	
	BE	DOYLE, E.M., TAVERES, S.E., and MEIJER, H., "Computer Analysis of Cryptographic Protocols Using Colored Petri Nets," 18th Bienniel Symposium on Communication Symposium Proceedings, pp. 194-199 (June, 1996).	
	BF	EL-HADIDI, M.T., HEBAZI, N.H., and ASLAN, H.K., "Implementation of a Hybrid Encryption Scheme for Ethernet," Proceedings of IEEE Symposium on Computers and Communications, Alexandria, Egypt, pp. 150-156 (June 1995)	
	BG	GENRICH, H.J., and LAUTENBACH, K., "System Modelling With High-Level Petri Nets," Theoretical Computer Science, 13, pp. 109-136, (1981).	
	BH	JUSZCZYSZYN, K., "Secure Information Flow Model for Corporate Network," Information Systems Architecture and Technology ISAT 2000, pp. 272-279, (2000).	
	BI	KARRI, R., "A Security Imbedded Authentication Protocol," IEEE INFOCOM '88 – The Conference on Computer Communications Proceedings, pp. 1105-1109 (March 1988).	
	BJ	KRAMER, B., "Rule-Enhanced Petri Nets for Software Process Modeling," SEKE '94 – The 6th International Conference on Software Engineering and Knowledge Engineering, pp. 493-500 (June 1994)	
	BK	MILNER, R., "Communicating and Mobile Systems: The $\pi$ - Calculus," Cambridge University Press, Cambridge, UK, pp. 1-161, (1999).	
	BL	MIRSKY, E., and DEHON, A., "MATRIX: A Reconfigurable Computing Architecture with Configurable Instruction Distribution and Deployable Resources," Proceedings of IEEE Workshop of FPGAs for Custom Computing Machines, pp. 157-166, (1996).	
	BM	MURATA, T., "Petri nets: Properties, Analysis and Applications," Proceedings of the IEEE, Vol. 77, No. 4, pp. 541-580, (April 1989).	
	BN	MORTON, C.M., ROBART, L.C., and TAVARES, S.E., "Decomposition Techniques for Cryptographic Protocol Analysis," 1994 Canadian Conference on Electrical and Computer Engineering, pp. 335-339, (September 1994).	

Examiner Signature	Date Considered
--------------------	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

60140018 v1

Please type a plus sign (+) inside this box →

PTO/SB/08B (08-00)

Approved for use through 10/31/2002. OMB 0651-0031

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number

Substitute for form 1449B/PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet

3

of

3

**Complete if Known**

Application Number	10/054,749
Filing Date	January 18, 2002
First Named Inventor	Stork, David G.
Group Art Unit	2153
Examiner Name	Burgess, Glenton B.
Attorney Docket Number	15358-006710US

RECEIVED

FEB 18 2004

### OTHER PRIOR ART – NON PATENT LITERATURE DOCUMENTS

Technology Center 2100

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	BO	OHTA, A., OHBA, T., and HISAMURA, T., "On Liveness of Subclasses of Petri Nets with Permission or Inhibitor Arcs," Trans. of the Society of Instrument and Control Engineers, Vol. 31, No. 10, pp. 1722-1729 (1995).	
	BP	SCHMIDT, H.W., "Prototyping and Analysis of Non-Sequential Systems Using Predicate-Event Nets," Journal Systems Software, Vol. 15, pp. 43-62, (1991).	
	BQ	VALETTE, R., "Analysis of Petri Nets By Stepwise Refinements," Journal of Computer and System Sciences, Vol. 18, No. 1, pp. 35-46, (1979).	
	BR	VAN DER AALST, WIL M.P., "Interorganizational Workflows: An approach based on message sequence charts and Petri Nets," website address: <a href="http://tmitwww.tn.tue.nl/staff/wvdaalst/Publications/p70.pdf">http://tmitwww.tn.tue.nl/staff/wvdaalst/Publications/p70.pdf</a> , from In Proceedings of PROLAMAT'98, IFIP Transactions, Trento, pp. 1-43, (1998).	
	BS	VAN DER AALST, WIL M.P., "Interorganizational Workflows: An approach based on message sequence charts and Petri Nets," Systems Analysis – Modelling – Stimulation (SAMS), Vol. 34, pp. 335-367, (1999).	
	BT	VAN DER AALST, WIL M.P., "Interorganizational Workflows: An approach based on message sequence charts and Petri Nets," Systems analysis – Modelling – Stimulation, Vol. 35, No. 3, pp. 345-357, (1999).	
	BU	VAN DER AALST, WIL M.P., "Three Good Reasons for Using a Petri-Net-Based Workflow Management System," Information and Process Integration in Enterprises: Rethinking Documents, Kluwer Academic Publishers, Norwell, MA, pp. 161-182 (1998).	
	BV	VAN GLABEEK, R., and GOLTZ, U., "Refinement of Actions in Causality Based Models," Proceedings of the Rex Workshop – Stepwise Refinement of Distributed Systems Models, Formalisms, Correctness, Mook, The Netherlands, pp. 267-300, (May 29 – June 2, 1989).	
	BW	VAN GLABEEK, R., and WEIJLAND, P., "Branching Time and Abstraction in Bisimulation Semantics," Journal of the ACM, Vol. 43, No. 3, pp. 555-600 (May 1996).	
	BX	WEITZ, W., "SGML Nets: Integrating Document and Workflow Modeling," Proceedings of the 31st Annual Hawaii International Conference on System Sciences, IEEE, pp. 185-194 (1998).	

Examiner Signature	Date Considered
--------------------	-----------------

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Unique citation designation number. <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

Burden Hour Statement: This form is estimated to take 2.0 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

60140018 v1